11-30-04

AF. JIW

Atty Docket No. BOO001/135818

# THE UNITED STATES PATENT AND TRADEMARK OFFICE SEEFORE THE BOARD OF PATENT APPEALS AND INTERFERENCES

In re Application of:

M. David Boothe

Serial No.:

09/989,555

Group No.:

3677

Date Filed:

11/20/01

For:

MINI-STORAGE DOOR LATCH

Examiner:

Carlos Lugo

Mail Stop Appeal Brief-Patents Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

# TRANSMITTAL OF REQUEST FOR REHEARING UNDER 37 C.F.R. § 1.197

NOTE:

The phrase "the date on which" an "appeal was taken" in 35 U.S.C. 154(b)(1)(A)(ii) (which provides an adjustment of patent term if there is a delay on the part of the Office to respond within 4 months after an "appeal was taken") means the date on which an appeal brief under § 1.192 (and not a notice of appeal) was filed. Compliance with § 1.192 requires that: 1. the appeal brief fee (§ 1.17(c)) be paid (§ 1.192(a)); and 2. the appeal brief complies with § 1.192(c)(1) through (c)(9). See Notice of September 18, 2000, 65 Fed. Reg. 56366, 56385-56387 (Comment 38).

1. Transmitted herewith, in triplicate, is the Request for Rehearing in this application, with respect to the Decision on Appeal dated November 17, 2004.

NOTE:

"Appellant must, within two months from the date of the notice of appeal under § 1.191 or within the time allowed for reply to the action from which the appeal was taken, if such time is later, file a brief in <u>triplicate</u>..." 37 C.F.R. § 1.192(a) (emphasis added).

#### CERTIFICATE OF MAILING (37 C.F.R. § 1.10)

I hereby certify that this paper along with three copies of the Appeal Brief Under 37 C.F.R. § 1.192 are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date shown below with sufficient postage in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: November 29, 2004

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Ann Razo

WARNING:

"Facsimile transmissions are not permitted and if submitted will not be accorded a date of receipt" for "(4) Drawings submitted under §§ 1.81, 1.83 through 1.85, 1.152, 1.165, 1.174, 1.437...." 37 C.F.R. § 1.6(d)(4).

2.	ST	STATUS OF APPLICANT											
	This application is on behalf of												
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	NOTE:	The time periods set forth in 37 C.F.R. § 1.192(a) are subject to the provision of § 1.136 for patent applications. 37 C § 1.191(d). See also Notice of November 5, 1985 (1060 O.G. 27).							37 C.F.R.				
	NOTE: As the two-month period set in § 1.192(a) for filing an appeal brief is not subject to the six-month maximum period specified in 35 U.S.C. § 133, the period for filing an appeal brief may be extended up to seven months. 62 Fed. Reg. 53,131, at 53,156; 1203 O.G. 63, at 84 (Oct. 10, 1997).												
	The proceedings herein are for a patent application and the provisions of 37 C.F.R. § 1.136 apply.												
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	WARNING:	C	redit card in	formation should not be included on this form as it may become public.							

Date: Nov. 24, 2004

Brett T. Cooke

Reg. No.: 55,836

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# REQUEST FOR REHEARING UNDER 37 C.F.R. § 1.197

### Real Party in Interest

The subject application is owned by Landmark Interest Corporation of Baytown, Texas.

## Related Appeals and Interferences

There are no related appeals, and there are no related interferences.

# Status of Claims

On February 13, 2004, appellant appealed from the final rejection of claims 9-11, claims 1-8 having been cancelled. The Board of Patent Appeals and Interferences affirmed the final rejection on November 17, 2004.

## Status of Amendments

There have been no amendments made subsequent to the office action made final November 13, 2003, which is the subject of this appeal.

## Summary of the Invention

Applicant's invention comprises a both an apparatus and a method. The apparatus is an improved latching mechanism which facilitates a handicapped person in operating the latching mechanism by allowing a prosthetic arm, hand, finger or other object to easily manipulate it. The latching mechanism is designed to be mounted on a door, gate or similar

object. The method concerns operating a door having a sliding latch to facilitate use by handicapped or disabled person.

In one embodiment of the invention, a latching mechanism is connected to a door. The latching mechanism includes a latch plate and latch. The latch plate is mounted to the door. The latch plate is cut out in such a way that it not only holds the latch, but also allows the latch to slide within a recess formed between the latch plate and the door. The latch is supported upon a latch plate shelf which is located underneath the latch and which extends from the latch plate to the door.

The latch comprises a bolt, or latch locking piece. The locking piece is extended into a slot or recess in the door frame or wall surrounding the door when the latching mechanism is in the closed position, which prevents the door from being opened. When the latching mechanism is in the open position, the locking piece is retracted from the slot or recess to allow the door to freely be opened.

In addition to the locking piece, the latch also comprises a handle and latch padlock holes. The handle allows a user of normal facility to move the latch from an open position to a closed position, and vice versa. When the latch is in the closed position, the latch holes line up with corresponding holes in the latch plate shelf. Such alignment allows a padlock or similar device to be disposed through both holes preventing movement of the latch by unauthorized individuals.

The latch further comprises a loop hole and loop disposed therein. A handicapped person who lacks the normal ability to grip the latch handle, such as one who suffers from carpal tunnel syndrome, arthritis, or from loss of a limb, can use the loop to move the latch. The loop is designed and arranged so that a disabled person can put a prosthetic arm, hand, finger or other object through the loop and pull the loop. Like the handle, the loop may be used to pull the latch from an open position to a closed position, or from a closed position to an open position. The loop may be constructed of plastic, wire, rope or the like. Further, the

loop is not required to be circular and may have any shape desired or necessary to facilitate a person passing a finger or prosthesis through the loop to move the latch from its open position to its closed position, and vice versa.

Thus, the crux of the invention is to attach a loop adapted for handicapped persons onto a sliding latch. The loop is used both to pull the latch to a closed position and to pull the latch to an open position.

#### Issues

Are claims 9-11 properly rejected under 35 U.S.C. § 103(a) as unpatentable over U.S. Patent No. 3,078,917 to Recchione in view of U.S. Patent No. 426,389 to Lacey, U.S. Patent No. 6.076,867 to Dollmann et al., or U.S. Patent No. 357,116 to Coultaus?

Are claims 9-11 properly rejected under 35 U.S.C. § 103(a) as unpatentable over U.S. Patent No. 4,930,563 to Finch et al. in view of U.S. Patent No. 426,389 to Lacey, U.S. Patent No. 6.076,867 to Dollmann et al., or U.S. Patent No. 357,116 to Coultaus?

## Grouping of Claims

Claims 9-11 stand or fall together.

#### The Examiner's Rationale

The examiner's rationale for rejecting claims 9-11 as unpatentable over Recchione in view of Lacey, Dollmann or Coultaus, or as unpatentable over Finch in view of Lacey, Dollmann or Coultaus, was stated in his final rejection as summarized below:

Recchione and Finch each disclose a door arranged and designed to roll up and down in a vertical opening of a wall and having a springless latch mechanism. The latch mechanism includes a latch plate mounted on the roll up door, and a latch mounted on the latch plate. The latch is arranged for horizontal movement between an open and a closed position by moving a locking piece into and out of engagement with a slot in the wall.

Although Recchione and Finch fail to disclose that a loop is connected directly to a hole in the latch, Lacey teaches that it is known in the art to have a sliding latch with a hole

and a loop directly connected to the latch. Also, Dollmann teaches that it is known in the art to have a sliding latch with a hole and a loop directly connected to the latch, and Coultaus discloses a sliding latch with a hole and a loop.

# Appellant's Original Argument on Appeal

The examiner has not established prima facie obviousness to support the § 103(a) rejections. It would not be obvious to one of ordinary skill in the art to combine the Lacey, Dollmann, or Coultaus references with either the Recchione or Finch references, because there is no basis or motivation in the art for combining the references.

"Obviousness cannot be established by combining the teachings of the prior art to produce the claimed invention, absent some teaching, suggestion or incentive supporting the combination." *In re Geiger*, 815 F.2d 686, 688, 2 U.S.P.Q.2d 1276, 1278 (Fed. Cir. 1987). The prior art must suggest the desirability of the combination, *In re Kotzab*, 271 F.3d 1365, 1371, 55 U.S.P.Q.2d 1313, 1318 (Fed. Cir. 2000); *In re Mills*, 916 F.2d 680, 26 U.S.P.Q.2d 1430 (Fed. Cir. 1990), and the test of obviousness is whether the combined teachings of prior art, taken as a whole, suggest the combination to the person of ordinary skill in the art. *In re Napier*, 55 F.3d 610, 34 U.S.P.Q.2d 1782 (Fed. Cir. 1995).

For example, in *WMS Gaming Inc. v. International Game Technology*, a patent for a slot machine was held to be valid despite one prior art patent which taught every aspect of the claimed invention except for non-uniform numbers mapping to stop positions to lower the odds of winning. Other prior art patents taught non-uniform numbers mapping to display symbols to simulate physical reels but not to affect the odds, but the court held that there was no evidence of motivation to combine the teachings of the various references. *WMS Gaming Inc. v. Int'l Game Tech.*, 184 F. 3d 1339, 51 U.S.P.Q.2d 1385 (Fed. Cir. 1999).

In the present case under appeal, the examiner has combined either one of two primary references (U.S. Patent No. 3,078,917 to Recchione or U.S. Patent No. 4,930,563 to Finch et al.) which disclose a springless horizontal sliding latching mechanism mounted on a

garage door with one of three secondary references (U.S. Patent No. 426,389 to Lacey, U.S. Patent No. 6.076,867 to Dollmann et al., or U.S. Patent No. 357,116 to Coultaus) which disclose a latch with a closing spring and a loop. The combined teachings of cited secondary prior art are to attach a loop to a latch to aid a user of normal facility to open the latch against a spring force which acts to close the latch. The prior art does not teach to use a loop to close a latch, nor to use a loop to aid a handicapped person to manipulate a latch. The state of the art in latch design at the time of applicant's invention is aptly described by six patents which are cited by the examiner in the office actions dated July 16, 2003 and December 19, 2002: U.S. Patent No. 426,389 to Lacey, U.S. Patent No. 6,076,867 to Dollmann et al., U.S. Patent No. 357,116 to Coultaus, U.S. 1,615,120 Patent No. to Fischer, U.S. Patent No. 540,911 to George, and U.S. Patent No. 550,719 to Hudson. These patents are the only cited prior art within the prosecution history of this case which disclose loops.

Lacey teaches attaching a loop to a bolt (A) to aid in the open movement of the bolt (A). U.S. Patent No. 426,389 (issued Apr. 22, 1890), figs. 1-2. However, Lacey teaches to use a spring (G) to move bolt (A) to the closed position. *Id.* at col. 1 II. 29-31, col. 2 II. 70-73.

Dollmann discloses a latch (11) having an indirectly coupled ring (29) designed to pull the latch to the open position. U.S. Patent No. 6,076,867 (issued Jun. 20, 2000), figs. 1A-2C. However, Dollmann teaches to use a spring (25), combined with pushing on a locking member surface (22) through an aperture (23) to move the latch from an open position to the closed position. *Id.* at col. 3 ll. 36-67, col. 4 ll. 1-9.

Similarly, Coultaus discloses a bolt which is pulled open by use of loop (G), but which is moved to the closed position by force from a spring (F). U.S. Patent No. 357,116, (issued Feb. 1, 1887), fig. 3, col. 1 ll. 46-49, col. 2 ll. 64-66.

Fischer discloses a door latch having a loop coupled thereto by a cord (3, 10). The loop is used to open the latch against a spring (7') which is designed to close the latch. U.S. Patent No. 1,615,120 (issued Apr. 14, 1922), figs. 1, 3, col. 2 67-69, col. 3 ll. 34-36.

George teaches using a loop only to help in the open movement of the latch. As clearly indicated, spring bolts (H, B) are used to help in the close movement. U.S. Patent No. 540,911 (issued Jun. 11, 1895), figs. 1-2, 5. "The bolts can be of any of the usual forms having a spring inclosed in the casing, to press the point of the bolt out, an eye or like device being provided on the inner end of the bolt, to attach a cord or chain thereto, to withdraw the bolts from the keepers" *Id.* at col. 2 ll. 77-83.

Hudson teaches only using a loop to help in the open movement of the latch. Hudson discloses a spring metal arm (C) upon the inside of the door operating in an identical manner to George's latch. U.S. Patent No. 550,719 (issued Dec. 3, 1895), fig. 1, col. 1 l. 22, col. 2 l. 62.

In all six disclosures of latches having loops, the latching mechanisms contain springs to effect the closing of the latch. The loops are clearly employed for the sole purpose of aiding an operator to overcome the force of the closing springs. The examiner has failed to cite any prior art where loops are used to close a springless latch. Further, the loops are not structurally designed and arranged for operation by prosthetic limbs. Thus, the state of the art at the time of applicant's invention uses loops only to solve the limited problem of allowing a user of normal facility to comfortably open a latch against a closing spring force. Thus, there is no suggestion either explicit or inherent in the prior art to use a loop with a latch to aid in the closing motion of the latch.

Further, the examiner by his own admission concedes that there is no motivation to combine the Lacey, Dollmann, or Coultaus references with either the Recchione or Finch references to arrive at the present invention of having a loop to aid in the closing motion of a horizontal springless latch, by stating it "would have been obvious...to include...a loop...in

order to help in the open movement of the latch," while remaining conspicuously silent on the issue of using a loop to aid in closing the latch.

In appellant's Reply to Office Action dated October 9, 2003, the argument that there is no motivation in the art for the examiner to combine the cited references was made. The examiner's answer was unresponsive, stating "Lacey, Dollmann or Coultaus are used **only** to teach that [sic] is known in the art to have a loop connected directly to a hole in a latch." (Emphasis in original). The examiner has taken the teachings of prior art out of context by focusing only on those aspects which help his case while ignoring the teachings as a whole. This reasoning is directly contrary to the holding of *Napier* – that the combined teachings of prior art must be considered as a whole in determining whether there is a basis to combine the references. *Napier*, 55 F.3d at 610. More specifically, in determining whether prior references make a claimed invention obvious, the examiner may not simply engage in hindsight reconstruction of the claimed invention, using the inventor's structure as a template and selecting elements from references to fill the gaps. The references themselves must provide some teaching whereby the inventor's combination would have been obvious. *In re Gorman*, 933 F.2d 982, 18 U.S.P.Q.2d 1885 (Fed. Cir. 1991).

Thus, it is clear that the prior art does not suggest the desirability of using a loop to help a user close a latch, nor does the prior art suggest the desirability of using a loop to help a user with a prosthetic limb to operate a latch. The prior art only suggests the desirability of using a loop to aid a user of normal facility to overcome spring force in a latch. Therefore, there is no motivation to combine any of the teachings of Lacey, Dollmann, or Coultaus with either Finch or Recchione.

However, not only is there a lack of basis to combine the cited references, there is actually a disincentive to combine the references. The combined teachings of the prior art taken as a whole actually teach away from the invention and destroy the intended function of the invention. Teaching away from the art is a per se demonstration of lack of prima facie

obviousness, *In re Dow Chemical Co.*, 837 F.2d 469, 5 U.S.P.Q.2d 1529 (Fed. Cir. 1988), and a § 103(a) rejection which is based upon a modification of a reference that destroys the intent, purpose or function of the invention is improper. *Gordon*, 733 F.2d at 900.

As described above, the prior art teaches that a loop is used with a latch only to allow a user to counteract the closing force of a spring within the latching mechanism in order to move the latch to the open position. The closing movement of the latch is a result only of a compressed spring returning to a relaxed position. Thus, the prior art teaches against using a loop to slide the latch to a closed position. If the inventor adopts the teachings of the cited prior art and uses a spring to close the latching mechanism, the result would frustrate the purpose of the invention – to facilitate for handicapped persons the operation of a door latching mechanism. It would be burdensome for a disabled person to be forced to fight against the force of a stiff spring to open a latch, and if the latch should inadvertently close from the force of the spring, the disabled person may be forced to actuate the latch a greater number of time that would otherwise be the case. Thus, there is a disincentive to combine the teachings of the prior art to arrive at the present invention.

There is no basis, incentive, or motivation contained in the teachings of Lacey, Dollmann, or Coultaus, either explicit or implicit, which supports the combination of these references with the Recchione or Finch references. The examiner has produced no prior art disclosing a latch with a loop, where the loop is used to move the latch to the closed position. The examiner has not made a prima facie case of obviousness.

#### Decision on Appeal

The board of Patent Appeals and Interferences affirmed the final rejection, stating, "the differences between a springless and a spring loaded latch mechanism are not of such a nature that one of ordinary skill in the art <u>would have been dissuaded</u> from providing on the springless latch mechanism of either Recchione or Finch an enlarged loop disposed through a

hole in the spring bolt, as taught by any of Lacy, Dollman and Coultaus, to obtain the <u>self-evident advantage</u> of a vehicle for applying a pulling force to the latch..." (emphasis added).

# Points Misapprehended in Rendering Decision

Applicant respectfully submits that the Board committed two errors of law in rendering its decision. First, the Board applied an incorrect legal standard for obviousness – given a combination of prior art references, whether the nature of the mechanisms disclosed therein would dissuade one of ordinary skill in the art from using the combination. The Board cites no authority for this proposition of law. Appellant avers that the correct legal standard, as argued above, is whether there is a motivation in the prior art to combine the references, i.e. does the prior art suggest the desirability of the combination. ACS Hosp. Sys., Inc. v. Montefiore Hosp., 732 F.2d 1572, 1577, 221 U.S.P.Q. 929, 933 (Fed. Cir.1984); M.P.E.P § 2143.01 (8th ed. rev. 1, Feb. 2003). These two standards are not synonymous. The Board's standard supports any combination of references unless there is a disincentive in the combination, which is a higher standard for patentability. The correct standard, on the other hand, only supports a combination when there is a suggestion in the art to combine the references. Application of the different standards likely results in different outcomes. The Board decided the case based on the erroneous standard and has not addressed or responded to Appellant's argument that there is no motivation suggested in the prior art to combine the references.

Second, in support of its decision, the Board asserts that the advantage of the combination of a loop in the latch mechanism is <u>self-evident</u>. The Board appears to be sua sponte substituting its hindsight opinion as to the obviousness of the invention in place of the correct legal standard – whether the invention would have been obvious to one of ordinary skill in the art armed with knowledge of the prior art. The cited prior art does not support the proposition that combining a loop with a springless latch to both open and close the latch is self-evident. If that were the case, the examiner would certainly have found prior art on point

which does show a springless latch with a loop. The Board has produced no evidentiary support or argument for its averment that the advantage of the combination is self-evident. It is an error of law to substitute the Board's hindsight opinion in place of the known state of art at the time of the invention as evidenced by the cited prior art in the record in determining obviousness. *In re Gorman*, 933 F.2d at 982.

#### Summary

Obviousness is not established by a combination of prior art teachings absent some teaching, suggestion, or incentive supporting the combination. ACS Hosp. Sys., 732 F.2d at 1572. "The mere fact that references can be combined or modified does not render the resultant combination obvious unless the prior art also suggests the desirability of the combination." M.P.E.P § 2143.01 (8th ed. rev. 1, Feb. 2003). (Emphasis in original). It is an error of law to find obviousness based on whether one of ordinary skill in the art would be dissuaded from a given combination of elements. None of the extensive prior art of record suggests the desirability of using a loop to help a user close a latch. The prior art does not suggest the desirability of using a loop to help a user with a prosthetic limb to operate a latch. The prior art only suggests the desirability of using a loop to aid a user of normal facility to overcome spring force in a latch. Therefore, it would not be obvious to one of ordinary skill in the art to combine any of the teachings of Lacey, Dollmann, or Coultaus with either Finch or Recchione, nor is any advantage derived from their combination self-evident. It is an error of law to substitute the Board's hindsight in place of the state of the art at the time of the invention in determining whether or not an invention would have been obvious to one of ordinary skill in the art. The examiner has failed to meet his burden of presenting prima facie obviousness to support the § 103(a) rejections, and the Board erred on appeal.

For the foregoing reasons, the Appellant submits that the rejections of claims 9-11 are in error, that the affirming of the rejections by the Board of Patent Appeals and Interferences is in error, and the Appellant respectfully requests the Board of Patent Appeals and Interferences to overturn the rejections.

Respectfully submitted,

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Date: Nov. 24, 2004

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#### APPENDIX A

#### Claims

9. An improved roll-up door and springless latching mechanism combination for a storage unit,

said roll-up door (10) arranged and designed to roll-up and down in a vertical opening of a wall of said storage unit;

said springless latching mechanism including a latch plate (62) mounted on said rollup door (10) and a latch (64) slidably mounted on said latch plate (62) and arranged and designed for horizontal movement between open and closed positions by moving a locking piece into and out of engagement with a slot of said wall of said storage unit, characterized in that

a hole is provided in said latch with a loop disposed directly through the hole, said loop being arranged and designed so that a disabled person can put a prosthetic arm, or hand, or finger or other object through the loop and pull said latch from an open position to a closed position and vice versa.

- 10. A springless latching mechanism for a roll-up door of a storage unit comprising,
- a latch plate arranged and designed for mounting on said roll-up door, said latch plate having a cut out, and a horizontal latch plate shelf,
- a latch mounted on said latch plate for horizontal movement on said latch plate shelf between open and closed positions, said latch having a portion which extends through said cut out, said portion including a hole with a loop provided therein,

said loop connected directly to said hole such that it is arranged and designed so that a disabled person can put a finger, or hand or prosthetic arm through it and move the loop horizontally without gripping it in order to move the latch between open and closed position.

11. A method of operating a door having a horizontal springless latch mechanism including a latch plate and a sliding latch, said method comprising the steps of,

coupling a loop to said springless latch mechanism, said loop designed and arranged so that a disabled person can put a prosthetic arm, hand, finger, or other object through the loop,

sliding said latch to a closed position by displacing said loop in a first direction, and sliding said latch to an open position by displacing said loop in a second direction.